

The information collection requirements contained in this notice of funding availability and application kit will be used to rate applications, determine eligibility, and establish grant amounts.

Selection of applicants to receive funding under the Office of Healthy Homes and Lead Hazard Control Operation Lead Elimination Action Program (LEAP) NOFA is based on the rating factors listed in the HUD Notice of Funding Availability for 2002.

For the Office of Healthy Homes and Lead Hazard Control grant programs, the public reporting burden for this collection of information is estimated to average 100 hours per response, including the time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. Send comments regarding this burden estimate or any other aspect of this collection of information, including suggestions to reducing this burden, to the Reports Management Officer, Paperwork Reduction Project 2539-0015, Office of Information Technology, U.S. Department of Housing and Urban Development, Washington, DC 20410-3600.

Do not send this form to the above address.

HUD may not conduct or sponsor, and a person is not required to respond to, a collection of information unless the collection displays a valid control number.

The information submitted in response to this Notice of Funding Availability for the Operation Lead Elimination Action Program is subject to the disclosure requirements of the Department of Housing and Urban Development Reform Act of 1989 (Pub.L. 101-235, approved December 15, 1989, 42 U.S.C. 3545).

Warning: HUD will prosecute false claims and statements. Conviction may result in criminal and/or civil penalties. (18 U.S.C. 1001, 1010, 1012; 31 U.S.C. 3729, 3802).



U. S. DEPARTMENT OF HOUSING AND URBAN DEVELOPMENT

WASHINGTON, D.C. 20410-0001

THE SECRETARY

August 2002

A Message for HUD's Partners:

Too many of America's children are exposed to serious health risks from lead poisoning. I have made protecting vulnerable children from lead-based paint hazards a priority at HUD, and I am pleased to tell you about our new residential initiative: Operation Lead Elimination Action Program (LEAP).

Through Operation LEAP, HUD will empower non-profit and for-profit groups to considerably reduce childhood lead poisoning in their communities by helping them attract substantial new private resources. These public/private partnerships will multiply assistance available at the state and local level to help us reach our long-term goal of eliminating lead-based paint hazards in housing.

The private sector can and must play a major role in addressing difficult public policy issues, and our new initiative can be a powerful tool to encourage private participation. Operation LEAP is an excellent opportunity to demonstrate just how important and effective public/private partnerships can be in addressing serious, long-standing problems.

With your help, our children will grow up in safe and healthy housing – with a future that is bright and full of opportunity. I urge you to join in this important effort.

A handwritten signature in black ink, reading "Mel Martinez".

Mel Martinez

Operation Lead Elimination Action Program (LEAP)

Application Kit

Fiscal Year 2002

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U. S. Department of Housing and Urban Development
Washington, D.C. 20410

**Office of Healthy Homes and Lead Hazard
Control**

APPLICATION KIT FOR THE FY2002 OPERATION LEAD ELIMINATION ACTION PROGRAM

Dear Applicant:

Thank you for requesting an Application Kit for the Operation Lead Elimination Action Program (LEAP). This is the first year that HUD will be awarding funds for this type of program. Funds will be used to leverage private sector resources to eliminate lead poisoning as a major public health threat to young children.

This country has a long and rich history of utilizing public/private partnerships to address major issues and problems in our society. While state and local grantees under the Department's Lead Hazard Control Grant Program have enjoyed some success in securing private sector support, Operation LEAP represents the initial focused effort to substantially increase the involvement of the non-profit and for-profit communities.

This grant program will provide \$6.5 million in the form of grants to non-profit and for-profit entities or firms that demonstrate a concrete ability to leverage substantial private sector resources to be used for lead hazard control related activities. Resources generated through Operation LEAP will be used and/or distributed by grantees to assist National, State and local entities actively engaged in creating lead-safe housing for families with young children on both a preventive and remedial basis. Both creativity and innovation is strongly encouraged. The applications are due no later than October 31, 2002.

Before you begin preparing your application, please read the entire Application Kit and Notice of Funding Availability (NOFA) to ensure your eligibility and to verify that the activities you select clearly meet the program objectives and are eligible for assistance. This Application Kit includes detailed instructions for each component of the application submission, including the necessary forms and tables. Please follow the instructions to ensure you meet all the requirements for a complete application. The Application Kit, additional resource documents, and necessary forms are also available on the Office of Healthy Homes and Lead Hazard Control's home page at: **www.hud.gov/offices/lead**

In accordance with the HUD Reform Act of 1989, HUD cannot provide any information on the relative standing of any application. However, prior to submission, you may ask questions about the grant program by calling the Office of Healthy Homes and Lead Hazard Control, Ellis G. Goldman at (202) 755-1785, ext. 112 (this is not a toll free number), or John Baker at (800) 842-2610, extension 3765 (this is a toll free number). Please note that your proposals submitted in response to this NOFA are subject to disclosure under the Freedom of Information Act.

We applaud your interest in providing homes free of lead paint hazards for our nation's children. Good luck!

Sincerely,

David E. Jacobs, Ph.D.
Director

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Operation Lead Elimination Action Program (LEAP)

SECTION 1. GENERAL INSTRUCTIONS AND GUIDELINES FOR APPLICANTS

General Instructions: This Application Kit should be used to apply for Operation Lead Elimination Action Program funding.

The Notice of Funding Availability (NOFA) can be found at the back of this application kit and should be read before preparing the application.

1. **Program Description:** The Operation LEAP is designed to support non-profit and for-profit entities that possess the capacity to mobilize substantial private sector resources for addressing lead hazards in housing through innovative leveraging or resource mobilization strategies. Activities that you may conduct for the purposes of developing a national or regional (multi-state) strategy should be designed to leverage or mobilize resources from the private sector.
2. **Objectives:** The objectives of the Operation Lead Elimination Action Program are to:
 - Mobilize private sector resources, involving non-profit and for profit entities and firms in an effort to leverage resources that may be used by local or statewide organizations involved in lead hazard control activities.
 - Build national or regional (multi-state) capacity and integrate community resources (business, community-based service providers, and faith-based organizations) by enlisting the support and resources available through the private sector in addressing lead hazards in housing.
3. **Legislative Authority:** This NOFA is authorized by HUD's 2002 Appropriation (Pub L 107-73), approved November 26, 2001.
4. **Eligibility:** To be eligible to apply for funding under this program, the applicant must be a tax-exempt (501(c)), other non-profit or for-profit entity or firm.

5. Eligible Activities

Activities that you may conduct for the purposes of developing a national or regional multi-state) strategy designed to leverage or mobilize resources from the private sector may include but are not limited to:

- A. Recruiting and placing appropriate staff skilled in leveraging private sector resources;
- B. Identifying innovative approaches for mobilizing resources and coordinating activities among a number of diverse organizations in both the public and private sector;
- C. Providing all necessary administrative and indirect support, including rent, equipment, materials, travel expenses and logistics, and subcontractors/consultants necessary to carry out grant activities; and

D. Conducting fund raising activities which will result in increased funding resources for use in carrying out lead hazard abatement and control activities in low-income privately owned or owner occupied housing with lead-based paint hazards.

E. Other activities that may be carried out include: **(See Rating Factor 2 for additional details for those applicants that propose to carryout direct physical activities)**

- a. Performing dust, paint or soil testing, hazard screens, inspections, and risk assessments of eligible housing constructed before 1978 to determine the presence of lead-based paint and/or lead hazards from paint, dust, or soil.
- b. Conducting lead hazard control, which may include: interim control of lead based paint hazards in housing (which may include specialized cleaning techniques to address lead dust); and abatement of lead-based paint hazards, including soil and dust, by means of removal, enclosure, encapsulation, or replacement methods.

Unless there are only a few surfaces coated with lead paint, complete abatement of all lead-based paint or lead-contaminated soil is not usually acceptable as a cost-effective strategy unless justification is provided and subsequently approved by HUD. Abatement of lead-contaminated soil should be limited to areas with bare soil in the immediate vicinity of the structure, i.e., drip line or foundation of the structure being treated, and children's play areas. All hazard control activities must comply with 24 CFR Part 35, subpart R, the HUD Guidelines for the Evaluation and Control of Lead-Based Paint Hazards in Housing and all applicable Federal, State and local regulations; in the case of a conflict between any of the above, the more stringent shall apply.

- c. Carrying out temporary relocation of families and individuals during the period in which lead hazard control is conducted and until the time the affected unit receives clearance for re-occupancy.
- d. Performing blood lead testing and air sampling to protect the health of the hazard control workers, supervisors, and contractors.
- e. Undertaking minimal housing rehabilitation activities that are specifically required to carry out effective hazard control, and without which the hazard control could not be completed and maintained. Operation LEAP grant funds may be used for lead hazard control work done in conjunction with other housing rehabilitation programs. HUD strongly encourages integration of this grant program with housing rehabilitation, weatherization, and other energy conservation activities.
- f. Conducting clearance dust-wipe testing and associated laboratory analysis.

Strategies/Approaches: The applicant is strongly encouraged to employ creativity and initiative in developing the proposal. Examples of possible strategies/approaches include but are not limited to the following:

- (1) **Enlist** the support and resource commitment of financial institutions, foundations, private industry and others to make residential housing lead-safe and eliminate lead poisoning as a public health threat to children.
- (2) **Solicit** the support of national building materials providers, building component manufacturers, and housing-related national retail outlets to donate money or materials to lead hazard control programs in housing and health departments, landlords and owner-occupants to eliminate lead-based paint hazards in privately owned low-income dwellings. For example: A window, wallboard, or paint manufacturer/retailer could donate or coordinate the donation and distribution of material to lead-based paint and/or rehabilitation projects throughout the country.
- (3) **Form** partnerships with banks or other mortgage institutions willing to provide no or low-interest home improvement loans to finance lead hazard control among low-income recipients who would not otherwise be served. By participating, banks could fulfill a major element of their responsibilities under the Community Reinvestment Act.
- (4) **Create** a national clearinghouse for facilitating the coordination and distribution of donated building materials such as windows, trim molding, paint, etc to local projects involved in lead hazard control programs.
- (5) **Identify** and facilitate the availability and use of temporary relocation facilities for families who need to move out of their dwellings while lead hazard control work is being undertaken. For example, hotel chains, colleges, and other lead-safe sites could be contacted to make housing for the temporary relocation of families available during lead hazard control.
- (6) **Work** with landlord and tenant groups to form consortia or otherwise engage landlords and owner-occupants to enroll their eligible housing units in local lead hazard control or rehabilitation programs. The applicant should obtain commitments from landlords to provide matching resources for work to be done on their units. For example, the lead hazard control program could offer landlords grant funds for replacement windows if the landlords contribute the cost of additional repairs such as basic system upgrades, or other rehabilitation work including painting and maintenance.
- (7) **Create** a nationwide “lead-safe unit” identification seal of approval program. Housing units that safely complete hazard control activities, or housing units that pass a lead clearance test, would receive a lead-safe unit seal. Landlords and other programs could use this in marketing the availability of the safety of these units for families with young children, thus increasing the market appeal and matching lead-safe units with families with young children.
- (8) **Promote** homebuilder, remodelers, or contractor associations to coordinate efforts to reduce lead hazards by contributing technical assistance, training, presentations and materials and/or labor to lead hazard control efforts.

(9) **Encourage** landscaping firms, nurseries, and landscape architects to contribute lead-safe soil, mulch, and other forms of vegetation cover and shrubbery designed to mitigate lead contamination of soil around the exterior/perimeter and play areas of affected housing units.

(10) **Work** with faith-based and community-based organizations that are committed to improving the quality of life within the community.

(11) **Provide** training for significant numbers of trades people to implement lead-safe work practices, such as window replacement and weatherization workers.

(12) **Expand** dust testing and clearance testing, especially in high-risk communities.

SUPPORT ACTIVITIES

(1) Administrative costs: Up to 10 percent of the HUD funds may be used for administration. Such costs would include the costs associated with completing HUD reports, accounting and bookkeeping expenses, costs associated with obtaining audits, and other direct grant management expenses (see Appendix A for definition of Administrative Costs applicable to this program).

(2) Up to twenty percent of the leveraged funds may be used for training, lead hazard awareness and other public education, outreach and education initiatives.

INELIGIBLE ACTIVITIES

(1) Purchase of real property.

(2) Chelation or other medical treatment costs related to children with elevated blood lead levels.

(3) Lead hazard abatement activities in publicly owned housing, or project-based Section 8 housing.

(4) Capital expenditures in excess of \$5,000 per unit cost.

6. Maximum Assistance and Local Contributions: Approximately \$6.5 million is available to fund 6 to 10 grants. Grantees proposing the highest leverage contribution will receive a greater number of points for this element during the review. The grant amount requested is to be a single overall request for the period of performance.

7. Completion of Work: The period of performance is 24 months. Grantees will be expected to report on program progress on a quarterly basis in a format provided by HUD. HUD reserves the right to approve no-cost time extensions for a period of up to 24 months based upon the submission of adequate justification by the grantee.

8. Final assembly of an Application Package: The application should be assembled in the order shown in the Checklist and Table of Contents, number each page, and tab each section sequentially. Show the page numbers on the Checklist and Table of Contents sheet that is to be included with the submission. Since applications may not be corrected or changed after the deadline date, review your application to ensure it is complete and correct. **The narrative response to the Rating Factors cannot exceed a total of 15 pages (this does not include the budget or materials included in the appendices). Tabular information must be provided in the appropriate appendix.**

To help verify that the application is complete, the Threshold Review checklist that HUD will use is provided for you in Annex 4 in the Forms Section in the back of this book. We recommend you use it to assist in the assembly of a complete application.

In addition, relevant supplemental material for these factors may be submitted. Such materials should be supplied in appendices as shown below. These appendices may consist of required threshold documents such as a copy organizational chart(s), resumes, job descriptions, Memoranda of Agreement/Understanding, letters of commitment for participating in project, and additional supporting documentation.

To ease assembly and speed the review process, the appendices should be provided in the sequence indicated below:

Appendix 1 Materials relating to Rating Factor 1 - Organizational Capacity

Appendix 2 Materials relating to Rating Factor 2 - Approach

Appendix 3 Materials relating to Rating Factor 3 - Leveraging Resources

Appendix 4 Materials relating to the application thresholds or forms/other

Attach any miscellaneous items or documents in Appendix 4 that support or are part of your Operation LEAP application. These appendices should be limited to maps, data tables, documents and forms that **directly** pertain to your proposal and **must be either specifically referenced and/or requested in responding to the factors for award**. Additional narrative explanation for the Rating Factors is not acceptable and will not be reviewed.

Please note there is a 15-page limit for your narrative responses to the rating factors. Any pages in excess of this limit will not be read.

9. Application Deadline: Please refer to the Notice of Funding Availability (NOFA) published in the Federal Register for the deadline for the receipt of applications. Applications must be submitted complete and on time as required in the NOFA. Applications received after the deadline established will be ineligible for consideration.

10. New Security Procedures. In response to the terrorist attacks in September 2001, HUD has implemented new security procedures that impact on application submission procedures. Please read the following instructions carefully and completely. **HUD will not accept hand delivered applications.** Applications may be mailed using the United States Postal Service (USPS) or may be shipped via the following delivery services: United Parcel Service (UPS), FedEx, DHL, or Falcon Carrier. ***No other delivery services are permitted into HUD Headquarters without escort. You must, therefore, use one of the four carriers listed above.***

Mailed Applications. Your application will be considered timely filed if your application is postmarked on or before **12:00 midnight** on the application due date and received by the designated HUD Office on or within **fifteen (15) days** of the application due date. All applicants must obtain and save a Certificate of Mailing (Form USPS 3817) showing the date when you submitted your application to the United States Postal Service (USPS). The Certificate of Mailing will be your documentary evidence that your application was timely filed.

Applications Sent by Overnight/Express Mail Delivery. Due to new security measures, **you must use one of four carrier services that do business with HUD Headquarters regularly. These services are UPS, DHL, FedEx and Falcon Carrier.** If these companies do not service your area, you should submit your application via the United States Postal Service. Delivery by these services must be made during HUD's Headquarters business hours, between 8:30 AM and 5:30 PM Eastern time, Monday to Friday. If your application is sent by overnight delivery or express mail, your application will be timely filed if it is received before or on the application due date, or when you submit documentary evidence that your application was placed in transit with the overnight delivery/express mail service by no later than the application due date.

Address for Submitting Applications.

Submit an **original** and **four copies** of your application package to:

U.S. Department of Housing and Urban Development
Office of Healthy Homes and Lead Hazard Control
Attn: Mr. Ellis G. Goldman
451 Seventh Street SW, Suite P3206
Washington, D.C. 20410

11. Corrections of Technical Deficiencies: HUD will notify an applicant, in writing, shortly after the NOFA response deadline, of any technical deficiencies in the application that are not of a substantive nature, such as a form or illegible signature. The applicant shall submit corrections that must be received at the HUD Office of Healthy Homes and Lead Hazard Control within 14 calendar days from the date of HUD's notifying the applicant of any technical deficiencies. Corrections to deficiencies will be accepted only within the time limit. **Applicants who do not make timely responses to requests for deficiency corrections shall be removed from further consideration for award.**

12. Late Applications, Modifications of Applications, and Withdrawals of Applications:

- a. Applications received after the deadline established will be ineligible for consideration
- b. Any modification of an application, except corrections to technical deficiencies described in #11 above, is subject to the same deadlines as for the original application.
- c. Applications may be withdrawn by written notice, facsimile or telegram (including mailgram) received at any time prior to award. An applicant may withdraw applications in person or their authorized representative, provided their identity is made known and they provide written confirmation of their request.

13. Further Information: If you have any questions regarding your application or any other aspect of the grant program, call Ellis G. Goldman at (202) 755-1785, ext. 112. (This is not a toll free number), or John Baker at (800) 842-2610, extension 3765. (This is a toll free number).

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SECTION 2. PREPARING YOUR APPLICATION

Transmittal Letter

Prepare a brief letter applying for the grant and signed by an authorized official. The transmittal letter should indicate the applicant organization or firm, the amount of the grant requested, and the nature of involvement with community-based organizations.

Applicant Abstract

Prepare a brief **(two page maximum)** abstract describing the goals and objectives of your proposed program. Include the following items (be specific and concise):

- The organizations (National, State and/or local entities) that you will partner with to deliver the lead hazard control activities, or that will participate in the program by either conducting lead hazard control activities or in another role;
- Contracts, Memorandum of Understanding or Agreement, letters of commitment or other documentation that describes the proposed roles of agencies, local broad-based task forces, participating faith-based and other community-based groups or organizations, local businesses and others working with your program.

Required Forms

Prepare and submit the following forms (found in the back of this book) as part of your application:

SF-LLL	Disclosure of Lobbying Activities *
HUD 424	Application for Federal Assistance *†
HUD 424-B	Applicant Assurances and Certifications†
HUD 424-C	Budget Summary for Competitive Grant Programs
HUD 2880	Applicant/Recipient Disclosure/Update Report

* These forms are also available as fill able Adobe Reader (PDF), Word (DOC), or Excel (XLS spreadsheet formats from the HUD Funds Available page at <http://www.hud.gov/offices/adm/grants/otherhud.cfm>

Factors for Award and Scoring

The applications will be rated according to the three technical rating factors totaling 100 points.

Rating Factor	Applicant
1. Capacity of the Applicant and Relevant Organizational Experience	30 points
2. Soundness of Approach	35 points
3. Leveraging Resources	35 points
TOTAL	100 points

Budget

The proposed budget will be evaluated in terms of whether it is reasonable, clearly justified, and proposes to support eligible activities consistent with the intended use of the grant funds. A maximum of 24 months shall be budgeted for the planning, implementation, and completion of the Operation LEAP activities.

Up to 10 percent of the HUD funds may be used for administration. Such costs would include the costs associated with completing HUD reports, accounting and bookkeeping expenses, costs associated with obtaining audits, and other direct grant management expenses (see Appendix A for definition of Administrative Costs applicable to this program). Up to twenty percent of the leveraged funds may be used for training, lead hazard awareness and other public education, outreach and education initiatives.

HUD is not required to approve or fund all proposed activities. All budget categories and costs (Standard Form 424A Section B and Total Budget (Federal Share and Matching) and major tasks should be thoroughly documented and justified.

Please complete the Total Budget for the entire period of performance (Federal Share and Matching) using the Sample Form as a guide. You are encouraged to use the spreadsheet version that may be downloaded from <http://www.hud.gov/offices/adm/grants/otherhud.cfm> or www.hud.gov/offices/lead. Cost elements include: Direct Labor, Fringe Benefits, Travel, Equipment, Materials & Supplies, Consultants, Subcontracts, Other Direct Costs, and Indirect Costs. The narrative justification associated with these budgeted costs should be included as an attachment to the completed Total Budget (Federal Share and Matching) Forms. The budget narrative justification is not counted as part of the 15-page limit for the rating responses.

Leveraging of in-kind and cash contributions are to be reflected on HUD 424-C.

The applicant* is to develop its budget request which includes a breakout of costs for all contracts, sub-grants or subrecipients.

Responses to Rating Factors

Please respond to each of the three Rating Factor items. This NOFA limits your narrative response to the Rating Factors to **a total of fifteen (15) pages. Responses must have clearly numbered pages, a complete table of contents, appendices (as described), and be typewritten on one (1) side only on 8 1/2" x 11" paper using a 12 point font with not less than 3/4" margins on all sides.**

Appendices for the response to the Rating Factors may only consist of required threshold documents such as organizational chart(s), resumes (no more than two pages each), job descriptions, etc.

Environmental Policy Assurance

Provide a letter, signed by a duly authorized official, assuring HUD that the applicant agrees to assist HUD in complying with 24 CFR part 50 and that where LEAP funds are proposed to be used for eligible physical activities, the applicant shall:

- (1) Supply HUD with all available, relevant information necessary for HUD to perform for each property any environmental review required by 24 CFR part 50;
- (2) Carry out mitigating measures required by HUD or select alternate eligible property; and
- (3) Not acquire, rehabilitate, convert, lease, repair or construct property, nor commit or expend HUD or local funds for these program activities with respect to any eligible property, until HUD approval of the property is received.

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Rating Factors

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Rating Factors

Key Points to Consider

In this factor, you should detail:

- The skills and experience of staff and applicant agency
- A description of participating organizations and the roles they will play

Remember to Discuss

- Percentage of time each staff person or contractor will devote to project – a staffing roster may be included in Appendix 1 to provide this information.
- The number of persons with available knowledge and expertise, as well as, the range of expertise and knowledge.
- The level of involvement that your agency will have in the general oversight of the program and the participating organizations

Remember to Discuss

- Knowledge and experience of the day-to-day program manager and other key staff

Note:

Use of staff with more recent, relevant and demonstrated successful experience will result in a higher rating.

Factor 1: CAPACITY OF THE APPLICANT AND RELEVANT ORGANIZATIONAL EXPERIENCE

30 points for All Applicants

Demonstrate that your organization has the skills, and capability to successfully initiate and carry out the Operation LEAP within the required time frames set forth in the NOFA.

1. ADMINISTRATIVE AND PROGRAM MANAGEMENT CAPACITY

Describe the knowledge and experience of the staff responsible for the following functions: Executive Direction, Finance, Marketing, and Program Coordination. The applicant must have sufficient qualified personnel or be able to quickly retain qualified experts or professionals in financial/grant management, marketing or lead-based paint programs that will allow you to immediately begin your proposed work program and to perform your proposed activities within the two-year period of performance.

In your narrative, you should include information about your organization and staff capacity in fund raising and/or leveraging, and private sector recruitment that you have successfully conducted recently (e.g., within the past five years). Include a discussion of staff knowledge and expertise in fund raising, organizational skills, lead hazard control and lead-safe housing information. Your discussion on capacity should include the depth and range (depth dealing with the number of persons with available knowledge and expertise, and range dealing with the extent of knowledge and expertise) on your program staff, their experience, and commitment of time to the program, salary information, length of time with organization and position titles. Resumes or detailed job announcements for the above key positions must be included as an Appendix with your application. Indicate the percentage of time that key personnel will devote to your proposed project. You may demonstrate capacity by thoroughly describing your prior experience in this type of activity and/or how you will develop the necessary capacity to carryout proposed activities.

Describe your agency or organization's ability to manage grants and leveraged program funds and activities.

Describe the knowledge you and your project participants/partners possess regarding lead poisoning as a public health threat to children, and your experience and/or knowledge of lead-based paint issues and hazard control.

Key Points to Consider**Factor 2: SOUNDNESS OF APPROACH**

35 points for all Applicants

In this factor, you should detail:

- Specific, realistic and time-phased and measurable objectives, including time frame for fundraising, in-kind leveraging/contribution of material, creating/developing linkages so that resources are distributed to lead hazard control activities
- The description of how you will facilitate linkages to organizations conducting lead hazard control work should be specific and time oriented.

Keep in mind that there are many existing HUD-funded and locally funded lead hazard control programs throughout the country. It is important that your program approach include how you will outreach and link to this resource in the distribution of leveraging and/or in-kind resources.

This factor addresses the work plan strategy that the applicant intends to follow in meeting the goals and objectives of the program. This work plan strategy should address the following:

1. Describe the selection process for those organizations that are to conduct or coordinate work activities for lead hazard control, outreach, evaluation, etc. How do you intend to involve faith-based and other community-based organizations in your proposed activities?
2. Describe the proposed strategy for leveraging private sector resources including:
 - Target audiences/constituencies;
 - Use of contractors/subgrantees/partners and their method of selection;
 - Methods of outreach/promotion;
 - Types of leveraging to be employed;
 - Proposed use and distribution of funds/resources leveraged;
 - Overall project management and coordination;
 - Proposed schedule of activities within the 24-month period of performance.

Applicants are encouraged to solicit participation of faith-based, community-based and private sector organizations to accomplish outreach and community involvement activities.

Key Points to Consider**Factor 3: LEVERAGING RESOURCES**

35 points for all Applicants

In Rating Factor 3

- In this factor, HUD will consider the extent to which you have established working partnerships as evidenced by copies of memoranda of understanding or agreement, letters of commitment, or other documentation detailing specific commitments.

Remember to Discuss

- Describe any existing or potential private sector resources including Community Reinvestment Act funding opportunities that are available to the lead hazard control grant program.

1) Description: This factor addresses your ability to obtain and use private sector resources or leverage private sector activities that can be combined with HUD and other program resources to achieve program objectives. The applicant should:

- a) Describe what your organization has done in the recent past (e.g., within the past five years) that gives evidence that it has the ability and experience to leverage substantial resources. Describe specific activities, the amount of funds or goods leveraged, and what the leveraged funds were used to support. If you have experience in generating funds or goods for purposes similar to addressing lead paint abatement or control measures, you should describe those activities and the results achieved.
- b) Describe the types of public or private sector commitments, if any, you already have to devote to your LEAP grant program activities, and anticipated future amounts to be generated. Based upon the estimated amount of funding you anticipate leveraging over the life of the award, identify the general geographic locations of the units the increased funding or leveraged goods that will be treated as a result of your work. Also provide an estimate of the number of units that can be expected to be treated as well as the type of treatment to be used. Your description of the location of treatment areas should be sufficient to determine that the units serve low-income persons.

Generated resources may include cash or in-kind contributions of services, equipment, or supplies. In evaluating this factor, HUD will consider the extent to which you have established working partnerships, memoranda of understanding and/or firm agreements with other identified entities for the commitment of additional resources. Resources may be provided by any private source, including contributions of investor-owners. However, care should be taken in calculating such contributions when the exact amount is not easily determined. Applicants that do not have such partnerships at the time of application will be required to establish partnerships immediately following notification of grant award. Only contributions that have a stated monetary value with supporting documentation from the contributing organization/entity authorized to make such commitment must sign all the commitments to receive credit in the

evaluation for existing resources. Firm established commitments will be rated more highly than applications with commitments that have not yet been established. Applicants that have targeted specific high-risk neighborhoods or geographic locations for leveraging/fund raising and abatement/control activities will receive a higher number of rating points.

SECTION 3. ADMINISTRATIVE PROVISIONS

Obligation of funds

- Provision of funds. Funding shall be provided on a cost-reimbursable basis not to exceed the amount of the grant.

Availability of funds

- All payments will be made on a cost-reimbursable basis, except that a one (1) percent final payment shall be withheld and made upon completion of all tasks and the delivery and acceptance of the final report by the Government Technical Representative.

Reports

- The grantee shall submit the following types of reports:
 - Progress Reports. The grantee shall submit quarterly progress reports in accordance with directions from the HUD Office of Healthy Homes and Lead Hazard. Grantees will be provided the applicable guidance forms and reporting instructions.
 - Final Report. The grantee shall submit a final report in accordance with the HUD Office of Healthy Homes and Lead Hazard Control. The report shall summarize the applicant's plans, execution of the plans, achievements noted, and lessons learned. The report need not be lengthy, but should be of a quality and detail to provide a comprehensive description to any outside reader of all of the applicant's work and achievements under the grant.
- The grantee shall submit quarterly financial reports (SF-269A).

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Application Kit Annexes

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Annex 1 - Lead Hazard Background

Lead is a powerful toxicant that attacks the central nervous system. It is particularly damaging to the neurological development of young children. Pregnant women can transfer lead through the placenta to the fetus. Lead-based paint is one of the major sources of lead in the environment. In addition to paint, lead may be found in dust, soil, drinking water, food, combustion of leaded gasoline, and industrial emissions. Human exposure to lead is usually found by testing blood samples for the presence of lead.

The national housing survey conducted for the HUD Report on the National Survey of Lead-Based Paint in Housing in 1989-1990 showed that approximately 83 percent (or 64 million) of all pre-1978, occupied housing units had lead-based paint somewhere on the exterior or interior of the building. Approximately 90 percent of the dwellings built prior to 1960 had lead-based paint. More recent data from the National Survey of Lead and Allergens in Housing indicate that approximately 40 percent (or 38 million) of U.S. homes (other than vacant homes, group homes, hotels, motels, and housing where children were not permitted to live) had lead-based paint somewhere on the building in 1998-1999. Older dwellings are more likely to have higher concentrations of lead on painted surfaces and greater surface area coverage. Although intact lead-based paint poses little immediate risk to occupants, non-intact paint that is chipping, peeling, or otherwise deteriorating may present an immediate risk to occupants. Of particular concern are the approximately 25 million homes (26%) that have significant lead-based paint hazards (deteriorated lead-based paint, dust-lead levels, and/or soil-lead levels above the standards and the de minimis amounts of the HUD Lead-Safe Housing Rule at 24 CFR 35), the approximately 4.4 million units with significant lead-based paint hazards that are occupied by children under age 6 (which are approximately 27% of all homes occupied by children under age 6), and the approximately 1.4 million of these homes with young children for which the household income is under \$30,000 per year (which are approximately 29% of homes occupied by children under age 6 for which the household income is under \$30,000 per year). Children with elevated blood lead levels are disproportionately located in older and poorer neighborhoods in the nation's central cities. More than one-third of African-American children living in large central cities have elevated blood lead levels.

In July 1995, the Task Force on Lead-Based Paint Hazard Reduction and Financing recommended actions to develop comprehensive, health-protective, cost-effective, and feasible approaches to addressing the health hazard of lead-based paint. In October 1992, Title X of the Housing and Community Development Act of 1992 was enacted. This law amended the Lead-Based Paint Poisoning Prevention Act (LBPPPA) of 1971 as well as provided for a number of additional initiatives to address lead-based paint in housing. This law moved the focus from the mere presence of lead-based paint to a focus on conditions that can expose a child to lead hazards - deteriorating lead-based paint, lead-contaminated dust and bare lead-contaminated soil. The Task Force recommendations were aimed towards the 19 million housing units estimated to contain lead hazards, and preventing new lead hazards in the balance of the housing stock. This NOFA incorporates many of the recommendations in the Task Force Report.

In 1995, HUD published ***Guidelines for the Evaluation and Control of Lead-Based Paint in Housing*** (HUD ***Guidelines***). The HUD ***Guidelines*** provide detailed, comprehensive, technical information on the identification and control of lead-based paint hazards in housing. The HUD ***Guidelines*** replace the Interim Guidelines published in 1990. The ***Guidelines*** include a revised Chapter 7 on lead-based paint inspections, dated September 1997.

In August 1996, the EPA published regulations implementing Sections 402 and 404 of the Toxic Substances Control Act (TSCA) that addressed training and certification requirements for lead-based paint professionals and requirements for state programs. The training and certification programs took effect in 1999 and the state program requirements were effective in March 2000. Additional discussion is provided in Annex 6 of this NOFA. State Lead-Based Paint Contractor Certification and Accreditation Programs meeting the Annex 6 requirements are considered acceptable for purposes of the grant program in this NOFA.

Since the start of the Lead-Based Paint Hazard Control Grant program in 1993, approximately \$610 million will have been provided to States and local governments to address lead-based paint hazards in privately owned housing.

Annex 2 - Definitions

Community Based Organization (CBO) and Faith-Based Organization – A non-profit “grassroots” organization that has a strong history of providing vital community services in neighborhoods. These non-profit organizations are located in the targeted neighborhoods and perform functions designed to improve the community. There is substantial involvement and/or participation of residents associated with these faith-based and community-based organizations. In addition, faith-based and community-based organizations must possess the capacity to receive and manage federal funds.

Faith-Based Organization – See Community Based Organization (CBO)

Lead-Based Paint - Any paint, varnish, shellac, or other coating that contains lead equal to or greater than 1.0 mg/cm² as measured by XRF or laboratory analysis, or 0.5 percent by weight (5,000 µg/g, 5,000 ppm, or 5,000 mg/kg) as measured by laboratory analysis. Local legislation or regulations may have established a more restrictive level.

Lead-Based Paint Hazard - Paint-lead hazard, dust-lead hazard or soil-lead hazard, as identified in 40 CFR 745.65.

Lead-Based Paint Hazard Control - Activities to control and eliminate lead-based hazards, including interim controls, abatement and complete abatement.

Title X - The Residential Lead-Based Paint Hazard Reduction Act of 1992 (Title X of the Housing and Community Development Act of 1992, Pub. L. 102-550, approved October 28, 1992).

Annex 3 - References

The Environmental Protection Agency (EPA), with assistance from HUD and the Centers for Disease Control and Prevention (CDC), operates the National Lead Information Center Hotline and Clearinghouse for lead-based paint resources and assistance at 1-800-424-LEAD (1-800-424-5323).

HUD, EPA, CDC, and OSHA operate sites on the World Wide Web, which provide alternate sources for many of the documents referenced in this NOFA. The addresses for these organizations are:

Agency	Agency Home Page	Lead Home Page
HUD	www.hud.gov	www.hud.gov/offices/lead
EPA	www.epa.gov	www.epa.gov/lead
CDC	www.cdc.gov	www.cdc.gov/nceh/lead
OSHA	www.osha.gov	www.osha-slc.gov/sltc/lead

To secure any of the documents listed, call the listed telephone number (generally not toll-free).

REGULATIONS:

Worker Protection: OSHA publication -- Telephone: 202-219-4667

OSHA Regulations (available for a charge) - Government Printing Office -- Telephone: 202-512-1800

General Industry Lead Standard, 29 CFR 1910.1025

Lead Exposure in Construction, 29 CFR 1926.62, and appendices A, B, C, and D

Waste Disposal: 40 CFR 260-268 (EPA RCRA regulations) -- Telephone 1-800-424-9346.

Lead; Requirements for Lead-Based Paint Activities in Target Housing and Child-Occupied Facilities; Final Rule: 40 CFR 745 (EPA) (State Certification and Accreditation Program for those engaged in lead-based paint activities) (Please note new hazards identification rule at 66 FR 1206, January 5, 2001)-- Telephone: 202-554-1404 (Toxic Substances Control Act Hotline)

Lead-Based Paint Poisoning Prevention in Certain Residential Structures (Lead-Safe Housing Rule), Final Rule, 24 CFR 35 (HUD). Available from the National Lead Information Center at 1-800-424-LEAD.

GUIDELINES:

Lead-Based Paint: Guidelines for the Evaluation and Control of Lead-Based Paint Hazards in Housing; HUD, June 1995 (revised Chapter 7 published in September 1997) (available for a charge) -- Telephone: 800-245-2691

HUD Handbook 1378, Tenant Assistance, Relocation and Real Property Acquisition; Telephone: 202-708-1367.

Preventing Lead Poisoning In Young Children; Centers for Disease Control, October 1991: Telephone: 404-498-1420.

Screening Young Children for Lead Poisoning: Guidance for State and Local Public Health Officials, Centers for Disease Control and Prevention, November 1997, Telephone 404-498-1420.

Annex 4 - Blank and Sample Forms/Miscellaneous

APPLICATION FORMS

- Checklist and Submission Table of Contents (must be submitted)
- Table 1. Grant Partners †
- SAMPLE FORM: Total Budget (Federal Share and Matching)

The following forms are provided in the Forms Section in the back of this publication:

SF-LLL	Disclosure of Lobbying Activities *
HUD 424	Application for Federal Assistance *†
HUD 424-B	Applicant Assurances and Certifications†
HUD 424-C	Budget Summary for Competitive Grant Programs
HUD 2880	Applicant/Recipient Disclosure/Update Report

* These forms are also available as fillable Adobe Reader (PDF), Word (DOC) and Excel (XLS) formats from HUD's website at <http://www.hud.gov/offices/adm/grants/otherhud.cfmwebsite>

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CHECKLIST AND SUBMISSION TABLE OF CONTENTS

LEAD ELIMINATION ACTION PROGRAM

The following checklist is provided to ensure you have submitted all required items to receive consideration for funding. You must assemble the application in the order shown below and note the corresponding page number where the response is located. **You must include this checklist and submission table of contents with the proposal.**

<input type="checkbox"/>	Transmittal Letter	Cover Page
<input type="checkbox"/>	Applicant Abstract Summary (limited to a maximum of 2 pages)	
<input type="checkbox"/>	Application Forms	
<input type="checkbox"/>	HUD Form 424	
<input type="checkbox"/>	HUD Form 424B	
<input type="checkbox"/>	HUD Form 424C	
<input type="checkbox"/>	Form SF-LLL Disclosure of Lobbying Activities Required	
	<input type="checkbox"/> Form SF-LLL Not Required	
<input type="checkbox"/>	HUD 2880 Applicant/Recipient Disclosure/Update Report	
<input type="checkbox"/>	Environmental Policy Assurance Letter	
	Rating Factors	
<input type="checkbox"/>	1. Organizational Capacity of the Applicant and Relevant Experience	
<input type="checkbox"/>	2. Approach	
<input type="checkbox"/>	3. Leveraging Resources	
	Appendices	
<input type="checkbox"/>	Appendix 1 - Material in support of Rating Factor 1	
<input type="checkbox"/>	Appendix 2 - Material in support of Rating Factor 2	
<input type="checkbox"/>	Appendix 3 - Material in support of Rating Factor 3	
<input type="checkbox"/>	Appendix 4 - Other materials related to the application (as required)	
<input type="checkbox"/>	HUD 2993 Acknowledgment of Application Receipt	
<input type="checkbox"/>	HUD 2994 Client Comments and Suggestions (completion of this form is optional)	

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Table 1 - Grant Partners

Note: Please complete this table for each of the grant partners proposed in the application

Partner Name	Type of Organization	Description of Commitment (e.g., contract, MOU, etc.)	Resource and Leverage Commitment (value for service or in-kind)

Partner Name: Name of organization or entity that will partner with applicant in conducting LHC activities. **Type of Organization or Program:**

Health, Housing, Environmental, Community Development Department, Faith-Based or Community-Based Organization, Childhood Lead Poisoning Prevention Program, Financial Institutions, Job Training and Economic Opportunity Organizations, etc.

Description of Commitment: Memorandum of Understanding/Agreement, Contract, Subgrant, Letter , etc.

Resource Commitment Contributed by Partner:

The value of any contributed resource by the grant partner (includes in-kind or cash in support of the grant program). The contributed resource should also be listed in the Match Funding form)

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Name of Applicant

HUD Office of Healthy Homes & Lead Hazard Control Programs Threshold Review Checklist

This Threshold Review Checklist will be used to conduct the Threshold Reviews of the Lead Elimination Action Program. This is the form that will be used by HUD and is provided as part of the application kit to assist you in preparing a complete application. It is not necessary to include this checklist with your application.

The following checklist is provided to ensure that the applicant has submitted all of the required items in order to receive consideration for funding. **Reviewers must check off each item that has been included in the submission package and note the corresponding page number where the response is located.**

	Check One OK Problem	Review Criterion	Standards for Performance	Assessment (Include page number)
1		Transmittal Letter	Did an authorized official sign the transmittal letter?	Yes No Page _____
2		Abstract	Does the application include an abstract? (not to exceed 2 pages)	Yes No Page _____
3		LEAP	Is the applicant a nonprofit or for-profit entity or firm?	Yes No
4		HUD 424	What is the total amount of Federal funds requested? How much has been shown as leverage?	Federal _____ Leverage _____ Total _____
5		HUD 424-B	Did applicant submit the 424B Assurances and Certifications?	Yes No
6		HUD 424-C	Did the applicant submit the 424C Budget Summary?	Yes No
		Certifications and Disclosures	Review the Certifications and Disclosures to ensure they are signed or properly executed	Circle One
7		HUD 2880	Did the applicant complete and sign the HUD 2880?	Yes No
8		Certifications and Disclosures	Lobbying SF-LLL	Yes No Page _____ or Not required (As Stated by Applicant)
9		Application Size and Style	Is the application narrative in response to the Rating Factors 15 pages or less? Are the type size and margins appropriate? (at least 12 point type and at least 3/4" margins)	Yes No Yes No
10		Civil Rights Findings	The applicant <i>has</i> been identified with civil rights findings.	Yes No
11		Environmental Assurance	Did the applicant submit an assurance agreeing to assist HUD in complying with 24 CFR part 50?	Yes No

Deficiencies Noted by Threshold Reviewer: List with corresponding number

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Forms

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Application for Federal Assistance

U.S. Department of Housing and Urban Development

OMB Approval No.2501-0017 (exp. 03/31/2005)

1. Type of Submission

☐

Application

☐

Preapplication

2. Date Submitted

4. HUD Application Number

3. Date and Time Received by HUD

5. Existing Grant Number

6. Applicant Identification Number

7. Applicant's Legal Name

8. Organizational Unit

9. Address (give city, county, State, and zip code)

A. Address:

B. City:

C. County:

D. State:

E. Zip Code:

10. Name,title,telephone number,fax number, and e-mail of the person to be contacted on matters involving this application (including area codes)

A. Name:

B. Title:

C. Phone:

D. Fax:

E. E-mail:

11. Employer Identification Number (EIN) or SSN

12. Type of Applicant (enter appropriate letter in box)

A. State

I. University or College

B. County

J. Indian Tribe

C. Municipal

K. Tribally Designated Housing Entity (TDHE)

D. Township

L. Individual

E. Interstate

M. Profit Organization

F. Intermunicipal

N. Non-profit

G. Special District

O. Public Housing Authority

H. Independent School District

P. Other (Specify)

13. Type of Application

☐ New ☐ Continuation ☐ Renewal ☐ Revision

If Revision, enter appropriate letters in box(es)

☐ ☐

A. Increase Amount B. Decrease Amount C. Increase Duration

D. Decrease Duration E. Other (Specify)

14. Name of Federal Agency

U.S. Department of Housing and Urban Development

15. Catalog of Federal Domestic Assistance (CFDA) Number

14 ---

Title:

Component Title:

16. Descriptive Title of Applicant's Program

17. Areas affected by Program (boroughs, cities, counties, States, Indian Reservation, etc.)

18a. Proposed Program start date

18b. Proposed Program end date

19a. Congressional Districts of Applicant

19b. Congressional Districts of Program

20. Estimated Funding: **Applicant must complete the Funding Matrix on Page 2.**

21. Is Application subject to review by State Executive Order 12372 Process?

A. Yes

☐

This preapplication/application was made available to the State Executive Order 12372 Process for review on: Date_____

B. No

☐

Program is not covered by E.O. 12372

☐

Program has not been selected by State for review.

22. Is the Applicant delinquent on any Federal debt?

☐

No

☐ Yes If "Yes," explain below or attach an explanation.

Funding Matrix

The applicant must provide the funding matrix shown below, listing each program for which HUD funding is being requested, and complete the certifications.

Grant Program*	HUD Share	Applicant Match	Other HUD Funds	Other Federal Share	State Share	Local/Tribal Share	Other	Program Income	Total
Grand Totals									

* For FHIPs, show both initiative and component

Certifications

I certify, to the best of my knowledge and belief, that no Federal appropriated funds have been paid, or will be paid, by or on behalf of the applicant, to any person for influencing or attempting to influence an officer or employee of an agency, a Member of Congress, an officer or Member of Congress, an officer or employee of a Member of Congress, in connection with the awarding of this Federal grant or its extension, renewal, amendment or modification. If funds other than Federal appropriated funds have or will be paid for influencing or attempting to influence the persons listed above, I shall complete and submit Standard Form-LLL, Disclosure Form to Report Lobbying. I certify that I shall require all sub awards at all tiers (including sub-grants and contracts) to similarly certify and disclose accordingly.

Federally recognized Indian Tribes and tribally designated housing entities (TDHEs) established by Federally-recognized Indian tribes as a result of the exercise of the tribe's sovereign power are excluded from coverage of the Byrd Amendment, but State-recognized Indian tribes and TDHEs established under State law are not excluded from the statute's coverage.

This application incorporates the Assurances and Certifications (HUD-424B) attached to this application or renews and incorporates for the funding you are seeking the Assurances and Certifications currently on file with HUD. To the best of my knowledge and belief, all information in this application is true and correct and constitutes material representation of fact upon which HUD may rely in awarding the agreement.

23. Signature of Authorized Official

Name (printed)

Title

Date (mm/dd/yyyy)

Instructions for the HUD-424

Public reporting burden for this collection of information is estimated to average 45 minutes per response, including the time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. HUD may not conduct or sponsor, and a person is not required to respond to, a collection of information unless that collection displays a valid OMB control number.

This form must be used by applicants requesting funding from the Department of Housing and Urban Development. This application form HUD-424 incorporates the Assurances and Certifications (HUD-424-B). You may either (1) attach the Assurances and Certifications to the application or (2) renew the certifications that you previously made on behalf of your organization and submitted to HUD if the legal name of your organization has not changed and you were the authorized representative who signed the Assurances and Certifications.

Item Number Instructions

1. Please indicate whether your application is for a formal application submission or a preliminary application (pre-application). HUD does not accept pre-applications for programs funded through the SuperNOFA.
2. Enter the date you are submitting your application to HUD.
3. This box will be completed by HUD. When received by HUD, your application will be stamped:
 - (a) with a date; and
 - (b) with the time received.
4. Leave Blank. This will be completed by the HUD program office receiving your application. When HUD accepts electronic applications for the grant program you are applying for, this number will be computer generated.
5. If your application is to renew or continue an existing grant, provide the existing grant number. If a new award, please leave blank.
6. Leave blank if you have not been provided a HUD ID number or user number. If you are a Public Housing Authority, enter your HUD issued Public Housing Authority ID number.
7. Enter the legal name of your organization applying for HUD funding.
8. Enter the name of the primary unit in your organization, if applicable, which will be responsible for the program.
9. Enter the complete address of your organization.
10. Enter the name, title, telephone number, fax number, and E-mail of the person to contact on matters related to your application.
11. Enter your organization's Employer Identification Number (EIN) as assigned by the Internal Revenue Service or if you are applying as an individual, your Social Security Number.

12. Choose from the list and enter the appropriate letter in the space provided. You must be an eligible applicant to apply for assistance. You must read the program information requirements to determine if you are a type of applicant that is eligible to apply for assistance under the program.

13. Enter the type of application you are submitting for funding consideration.

Check the appropriate box.

☐ "New" means you are applying for a new grant award.

☐ "Continuation" means you are requesting an extension of an existing award.

☐ "Renewal" means you are requesting funding for renewal of an existing grant. e.g. Supportive Housing Program (SHP) or Shelter + Care grant.

☐ "Revision" means you are submitting a revision prior to the application due date in response to HUD's request for clarification or modification to your initial submission.

14. Pre-filled.

15. Enter the Catalog of Federal Domestic Assistance (CFDA) number and title and, if applicable, component title of the program.

16. Enter a brief description of your program and key activities.

17. Identify the location(s) where your activities will take place. If this is the entire state, enter "Entire State".

18a. Enter the proposed start date.

18b. Enter the proposed end date.

19a. List the Congressional District(s) where your organization is located.

19b. List any Congressional District(s) where your program of activities or project sites will be located.

20. You must complete the funding matrix on page 2 of this form.

Enter the following information:

Grant Program: The HUD funding program under which you are applying.

HUD Share: Please check the program requirements. Enter the amount of HUD funds you are requesting in your application.

Applicant Match: Enter the amount of funds or cash equivalent of in-kind contributions you are contributing to your project or program of activities.

Other Federal Share: Enter the amount of other Federal funds for your program of activities.

Instructions for the HUD-424 (Continued)

State Share: Enter the amount of funds or cash equivalent of in-kind services the State is providing to your project or program of activities.

Local/Tribal Share: Enter the amount of funds or cash equivalent of in-kind services your local/tribal government is providing to your project or program of activities.

Other: Enter the amount of other sources of private, non-profit, or other funds or cash equivalent of in-kind services being provided to your project or program of activities.

Program Income: Enter the amount of program income you expect to generate over the life of your award.

Total: Please total all columns and fill in the amounts.

21. You should contact the State Single Point of Contact (SPOC) for Federal Executive Order 12372 or check your application kit to determine whether the State Intergovernmental Review Process is required.

22. This question applies to your applicant organization, not the person signing as your organization's authorized representative. Categories of debt include disallowed costs that requires repayment to HUD.

23. To be signed by the authorized representative of your organization. A copy of your governing body's authorization for you to sign this application must be available in your organization's office.

**Applicant Assurances and
Certifications**

**U.S. Department of Housing
and Urban Development**

OMB Approval No. 2501-0017
(exp. 03/31/2005)

Instructions for the HUD-424-B Assurances and Certifications

As part of your application for HUD funding, you, as the official authorized to sign on behalf of your organization or an individual must provide the following assurances and certifications. By signing this form, you are stating that to the best of your knowledge and belief, all assertions are true and correct.

As the duly authorized representative of the applicant, I certify that the applicant [Insert below the Name and title of the Authorized Representative, name of Organization and the date of signature]:

Name: _____, Title: _____.

Organization: _____, Date: _____.

1. Has the legal authority to apply for Federal assistance, has the institutional, managerial and financial capability (including funds to pay the non-Federal share of program costs) to plan, manage and complete the program as described in the application and the governing body has duly authorized the submission of the application, including these assurances and certifications, and authorized me as the official representative of the applicant to act in connection with the application and to provide any additional information as may be required.

2. Will administer the grant in compliance with Title VI of the Civil Rights Act of 1964 (42 U.S.C. 2000(d)) and implementing regulations (24 CFR Part 1), which provide that no person in the United States shall, on the grounds of race, color or national origin, be excluded from participation in, be denied the benefits of, or otherwise be subjected to discrimination under any program or activity that receives Federal financial assistance **OR** if the applicant is a Federally recognized Indian tribe or its tribally designated housing entity, is subject to the Indian Civil Rights Act (25 U.S.C. 1301-1303).

3. Will administer the grant in compliance with Section 504 of the Rehabilitation Act of 1973 (29 U.S.C. 794), as amended, and implementing regulations at 24 CFR Part 8, and the Age Discrimination Act of 1975 (42 U.S.C. 6101-07), as amended, and implementing regulations at 24 CFR Part 146 which together provide that no person in the United States shall, on the grounds of disability or age, be excluded from participation in, be denied the benefits of, or otherwise be subjected to discrimination under any program or activity that receives Federal financial assistance; except if the grant program authorizes or limits participation to designated populations, then the applicant will comply with the nondiscrimination requirements within the designated population.

4. Will comply with the Fair Housing Act (42 U.S.C. 3601-19), as amended, and the implementing regulations at 24 CFR Part 100, which prohibit discrimination in housing on the basis of race, color, religion, sex, disability, familial status, or national origin; except an applicant which is an Indian tribe or its instrumentality which is excluded by statute from coverage does not make this certification; and further except if the grant program authorizes or limits participation to designated populations, then the applicant will comply with the nondiscrimination requirements within the designated population.

5. Will comply with the acquisition and relocation requirements of the Uniform Relocation Assistance and Real Property Acquisition Policies Act of 1970, as amended (42 U.S.C. 4601) and implementing regulations at 49 CFR Part 24 and 24 CFR 42, Subpart A.

6. Will comply with the environmental requirements of the National Environmental Policy Act (42 U.S.C. 4321 *et seq.*) and related Federal authorities prior to the commitment or expenditure of funds for property acquisition and physical development activities subject to implementing regulations at 24 CFR parts 50 or 58.

7. Will or will continue to provide a drug-free workplace by:

- (a) Publishing a statement notifying employees that the unlawful manufacture, distribution, dispensing, possession, or use of a controlled substance is prohibited in the applicant's workplace and specifying the actions that will be taken against employees for violation of such prohibition;
- (b) Establishing an on-going drug-free awareness program to inform employees about --
 - (1) The dangers of drug abuse in the workplace;
 - (2) The applicant's policy of maintaining a drug-free workplace;
 - (3) Any available drug counseling, rehabilitation, and employee assistance programs; and
 - (4) The penalties that may be imposed upon employees for drug abuse violations occurring in the workplace;
- (c) Making it a requirement that each employee to be engaged in the performance of the grant be given a copy of the statement required in Paragraph (a);
- (d) Notifying the employee in the statement required by paragraph (a) that, as a condition of employment under the grant, the employee will --
 - (1) Abide by the terms of the statement; and
 - (2) Notify the employer in writing of his or her conviction for a violation of a criminal drug statute occurring in the workplace no later than five calendar days after such conviction;

**Applicant Assurances and
Certifications (Continued)**

**U.S. Department of Housing
and Urban Development**

OMB Approval No. 2501-0017
(exp. 03/31/2005)

(e) Notifying the agency in writing, within ten calendar days after receiving notice under paragraph (d)(2) from an employee or otherwise receiving actual notice of such conviction. Employers of convicted employees must provide notice, including position title, to every grant officer or other designee on whose grant activity the convicted employee has worked, unless the Federal agency has designated a central point for the receipt of such notices. Notice shall include the identification number(s) of each affected grant;

(f) Taking one of the following actions, within 30 calendar days of receiving notice under paragraph (d)(2), with respect to any employee who is so convicted--

(1) Taking appropriate personnel action against such an employee, up to and including termination, consistent with the requirements of the Rehabilitation Act of 1973, as amended; or

(2) Requiring such employee to participate satisfactorily in a drug abuse assistance or rehabilitation program approved for such purposes by Federal, State, or local health, law enforcement, or other appropriate agency;

(g) Making a good faith effort to continue to maintain a drug-free workplace through implementation of paragraphs (a), (b), (c), (d), (e), and (f).

(h). The applicant may insert in the space provided below the site(s) for the performance of work or may provide this information in connection with each application.

(i). Place of Performance (street address, city, county, state, zip code)

8. In accordance with 24 CFR Part 24, and its principals:

(a) Are not presently debarred, suspended, proposed for debarment, declared ineligible, or voluntarily excluded from covered transactions by any Federal department or agency;

(b) Have not within a three year period preceding this proposal, been convicted of or had a civil judgement rendered against them for commission of fraud or a criminal offense in connection with obtaining, attempting to obtain, or performing a public (Federal, State or local) transaction; violation of Federal or State antitrust statutes or commission of embezzlement, theft, forgery, bribery, falsification, or destruction of records, making false statements, or receiving stolen property;

(c) Are not presently indicted for otherwise criminally or civilly charged by a governmental entity (Federal, State, or local) with commission of any of the offenses enumerated in the preceding paragraph of this certification; and

(d) Where the applicant is unable to certify to any of the statements in this certification, an explanation shall be attached.

(e) Will include the clause titled "Certification Regarding Debarment, Suspension, Ineligibility, and Voluntary Exclusion - Lower Tier Covered Transaction," provided by the HUD without modification, in all lower tier covered transactions and in all solicitations for lower tier covered transactions.

These certifications and assurances are material representations of the fact upon which HUD can rely when awarding a grant. If it is later determined that I, the applicant, knowingly made an erroneous certifications or assurance, I may be subject to criminal prosecution. HUD may also terminate the grant and take other available remedies.

Budget Summary for Competitive Grant Programs

U.S. Department of Housing
and Urban Development

OMB Approval No. 2501-0017
(exp. 03/31/2005)

Section A - Budget Categories

	Grant Program, Function or Activity								Total
	HUD Share	Applicant Match	Other HUD Funds	Other Federal Share	State Share	Local/Tribal Share	Other	Program Income	
1. Object Class Categories									
a. Personnel (Direct Labor)	\$		\$	\$	\$	\$	\$	\$	\$
b. Fringe Benefits									
c. Travel									
d. Equipment (Only Items Over \$5,000 Depreciation Value)									
e. Supplies (Only Items Over \$5,000 Depreciation Value)									
f. Contractual									
g. Construction									
1. Administrative and legal expenses									
2. Land, structures, rights-of way, appraisals, etc.									
3. Relocation expenses and payments									
4. Architectural and engineering fees									
5. Other architectural and engineering fees									
6. Project inspection fees									
7. Site Work									
8. Demolition and removal									
9. Construction									
10. Equipment									
11. Contingencies									
12. Miscellaneous									
h. Other (Direct Costs)									
1.									
2.									
3.									
4.									
5.									
6.									
i. Indirect Charges (% Approved Indirect Cost Rate:___%)									
j. Total Costs									
k. Program Income									

Instructions for the HUD-424-C, Budget Summary for Competitive Grant Programs

Public reporting Burden for this collection of information is estimated to average 3 hours per response, including the time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. This agency may not collect this information, and you are not required to complete this form, unless it displays a currently valid OMB Control Number.

General Instructions

This form consolidates OMB's Standard Form 424-A (Budget Summary - Non-Construction Programs) and Standard Form 424-C (Budget Summary Construction Programs) into a single Summary Budget for use with HUD competitive program applications.

This form is designed so that an application can be made for any of HUD's grant programs. In preparing the budget, adhere to any existing HUD requirements which prescribe how and whether budgeted amounts should be separately shown for different functions or activities within the program. For some programs, HUD may require budgets be separately shown by function or activity.

Your budget information should show the entire cost of your proposed program of activities. If you are not using funds in any of the line item categories, you should leave the item blank. If you are not doing construction as part of your program, you do not have to complete that information.

NOTE: Not all budget categories on this form are eligible for funding under all programs. Please see eligible activities under the specific program for which you are seeking funding.

Section A. Budget Categories

For each budget category (personnel, fringe benefits, travel, etc.) you should complete the amount of funding you plan on using in your grant program. You should complete each column as follows:

- Column 1** - Identify the amount of funds that you will need from the HUD grant program for which you are seeking funding.
- Column 2** - Identify any matching funds that you are required to include in your proposed program in order to be eligible for assistance.
- Column 3** - Identify any other HUD funds that you will be adding to this program either through your formula or competitive grant programs.
- Column 4** - Identify any other Federal funds that you will be adding to this program either through your formula or competitive grant programs.
- Column 5** - Identify any State funds that you will be adding to this program.
- Column 6** - Identify any Local or Tribal Government funds that you will be adding to this program.
- Column 7** - Identify any additional funds not previously identified in Columns 1 - 6, that you intend to use for your proposed program.
- Column 8** - Identify any program income that you expect to generate under this program.
- Column 9** - Add columns 1 - 8 across and place the total in Column 9.

Section A. Budget Categories (Continued)

Object Class Categories

The object class categories identifies how your program funds will be allocated by type of use, e.g., funds going for salaries, travel, contracts, etc. Each of these line items should be broken out under each column.

Lines a-f--Show the totals of Lines 1a to 1f in each column.

Line g.1.--Enter estimated amounts needed to cover administrative expenses. Do not include costs which are related to the normal functions of government.

Line g.2.--Enter estimated site and right(s)-of-way acquisition costs (this includes purchase, lease, and/or easements).

Line g.3.--Enter estimated costs related to relocation advisory assistance, replacement housing, relocation payments to displaced persons and businesses, etc.

Line g.4.--Enter estimated basic engineering fees related to construction (this includes start-up services and preparation of project performance work plan).

Line g.5.--Enter estimated engineering costs, such as surveys, tests, soil borings, etc.

Line g.6.--Enter estimated engineering inspection costs.

Line g.7.--Enter the estimated site preparation and restoration which are not included in the basic construction contract.

Line g.8.--Enter the estimated costs related to demolition activities.

Line g.9.--Enter estimated costs of the construction contract.

Line g.10.--Enter estimated cost of office, shop, laboratory, safety equipment, etc. to be used at the facility, if such costs are not included in the construction contract.

Line g.11.--Enter any estimated contingency costs.

Line g.12.--Enter estimated miscellaneous costs.

Line h.--Enter any other costs not already addressed above.

Line i.--Show the amount of indirect costs, and indicate the approved indirect rate, if applicable.

Line j.--Total all the budget categories and place the amounts under each column of line j.

Line k.--Enter the amount of program income that you expect to receive, allocate and generate through this program. The program income source may be from the current grant funds, other HUD program funds, your matching funds, or other funds. If you have no projection for receipt of program income, please leave the line blank. For discretionary grants the estimated amount of program income may be considered by HUD in determining the total amount of the grant award.

DISCLOSURE OF LOBBYING ACTIVITIES

Complete this form to disclose lobbying activities pursuant to 31 U.S.C. 1352

Approved by OMB

0348-0046

(See reverse for public burden disclosure.)

1. Type of Federal Action: <input type="checkbox"/> a. contract <input type="checkbox"/> b. grant <input type="checkbox"/> c. cooperative agreement <input type="checkbox"/> d. loan <input type="checkbox"/> e. loan guarantee <input type="checkbox"/> f. loan insurance		2. Status of Federal Action: <input type="checkbox"/> a. bid/offer/application <input type="checkbox"/> b. initial award <input type="checkbox"/> c. post-award		3. Report Type: <input type="checkbox"/> a. initial filing <input type="checkbox"/> b. material change For Material Change Only: year _____ quarter _____ date of last report _____	
4. Name and Address of Reporting Entity: <input type="checkbox"/> Prime <input type="checkbox"/> Subawardee Tier _____, if known: Congressional District, if known:			5. If Reporting Entity in No. 4 is a Subawardee, Enter Name and Address of Prime: Congressional District, if known:		
6. Federal Department/Agency:			7. Federal Program Name/Description: CFDA Number, if applicable: _____		
8. Federal Action Number, if known:			9. Award Amount, if known: \$ _____		
10. a. Name and Address of Lobbying Registrant (if individual, last name, first name, MI):			b. Individuals Performing Services (including address if different from No. 10a) (last name, first name, MI):		
11. Information requested through this form is authorized by title 31 U.S.C. section 1352. This disclosure of lobbying activities is a material representation of fact upon which reliance was placed by the tier above when this transaction was made or entered into. This disclosure is required pursuant to 31 U.S.C. 1352. This information will be reported to the Congress semi-annually and will be available for public inspection. Any person who fails to file the required disclosure shall be subject to a civil penalty of not less than \$10,000 and not more than \$100,000 for each such failure.			Signature: _____ Print Name: _____ Title: _____ Telephone No.: _____ Date: _____		
Federal Use Only:				Authorized for Local Reproduction Standard Form LLL (Rev. 7-97)	

INSTRUCTIONS FOR COMPLETION OF SF-LLL, DISCLOSURE OF LOBBYING ACTIVITIES

This disclosure form shall be completed by the reporting entity, whether subawardee or prime Federal recipient, at the initiation or receipt of a covered Federal action, or a material change to a previous filing, pursuant to title 31 U.S.C. section 1352. The filing of a form is required for each payment or agreement to make payment to any lobbying entity for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with a covered Federal action. Complete all items that apply for both the initial filing and material change report. Refer to the implementing guidance published by the Office of Management and Budget for additional information.

1. Identify the type of covered Federal action for which lobbying activity is and/or has been secured to influence the outcome of a covered Federal action.
2. Identify the status of the covered Federal action.
3. Identify the appropriate classification of this report. If this is a followup report caused by a material change to the information previously reported, enter the year and quarter in which the change occurred. Enter the date of the last previously submitted report by this reporting entity for this covered Federal action.
4. Enter the full name, address, city, State and zip code of the reporting entity. Include Congressional District, if known. Check the appropriate classification of the reporting entity that designates if it is, or expects to be, a prime or subaward recipient. Identify the tier of the subawardee, e.g., the first subawardee of the prime is the 1st tier. Subawards include but are not limited to subcontracts, subgrants and contract awards under grants.
5. If the organization filing the report in item 4 checks "Subawardee," then enter the full name, address, city, State and zip code of the prime Federal recipient. Include Congressional District, if known.
6. Enter the name of the Federal agency making the award or loan commitment. Include at least one organizational level below agency name, if known. For example, Department of Transportation, United States Coast Guard.
7. Enter the Federal program name or description for the covered Federal action (item 1). If known, enter the full Catalog of Federal Domestic Assistance (CFDA) number for grants, cooperative agreements, loans, and loan commitments.
8. Enter the most appropriate Federal identifying number available for the Federal action identified in item 1 (e.g., Request for Proposal (RFP) number; Invitation for Bid (IFB) number; grant announcement number; the contract, grant, or loan award number; the application/proposal control number assigned by the Federal agency). Include prefixes, e.g., "RFP-DE-90-001."
9. For a covered Federal action where there has been an award or loan commitment by the Federal agency, enter the Federal amount of the award/loan commitment for the prime entity identified in item 4 or 5.
10. (a) Enter the full name, address, city, State and zip code of the lobbying registrant under the Lobbying Disclosure Act of 1995 engaged by the reporting entity identified in item 4 to influence the covered Federal action.

(b) Enter the full names of the individual(s) performing services, and include full address if different from 10 (a). Enter Last Name, First Name, and Middle Initial (MI).
11. The certifying official shall sign and date the form, print his/her name, title, and telephone number.

According to the Paperwork Reduction Act, as amended, no persons are required to respond to a collection of information unless it displays a valid OMB Control Number. The valid OMB control number for this information collection is OMB No. 0348-0046. Public reporting burden for this collection of information is estimated to average 10 minutes per response, including time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. Send comments regarding the burden estimate or any other aspect of this collection of information, including suggestions for reducing this burden, to the Office of Management and Budget, Paperwork Reduction Project (0348-0046), Washington, DC 20503.

Applicant/Recipient Disclosure/Update Report

U.S. Department of Housing
and Urban Development

OMB Approval No. 2510-0011 (exp. 3/31/2003)

Instructions. (See Public Reporting Statement and Privacy Act Statement and detailed instructions on page 2.)

Applicant/Recipient Information

Indicate whether this is an Initial Report ☐ or an Update Report ☐

1. Applicant/Recipient Name, Address, and Phone (include area code): () -	2. Social Security Number or Employer ID Number: - -
3. HUD Program Name	4. Amount of HUD Assistance Requested/Received
5. State the name and location (street address, City and State) of the project or activity:	

Part I Threshold Determinations

1. Are you applying for assistance for a specific project or activity? These terms do not include formula grants, such as public housing operating subsidy or CDBG block grants. (For further information see 24 CFR Sec. 4.3). <input type="checkbox"/> Yes <input type="checkbox"/> No	2. Have you received or do you expect to receive assistance within the jurisdiction of the Department (HUD), involving the project or activity in this application, in excess of \$200,000 during this fiscal year (Oct. 1 - Sep. 30)? For further information, see 24 CFR Sec. 4.9 <input type="checkbox"/> Yes <input type="checkbox"/> No.
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If you answered "**No**" to either question 1 or 2, **Stop!** You do not need to complete the remainder of this form. **However**, you must sign the certification at the end of the report.

Part II Other Government Assistance Provided or Requested / Expected Sources and Use of Funds.

Such assistance includes, but is not limited to, any grant, loan, subsidy, guarantee, insurance, payment, credit, or tax benefit.

Department/State/Local Agency Name and Address	Type of Assistance	Amount Requested/Provided	Expected Uses of the Funds

(Note: Use Additional pages if necessary.)

Part III Interested Parties. You must disclose:

1. All developers, contractors, or consultants involved in the application for the assistance or in the planning, development, or implementation of the project or activity and
2. any other person who has a financial interest in the project or activity for which the assistance is sought that exceeds \$50,000 or 10 percent of the assistance (whichever is lower).

Alphabetical list of all persons with a reportable financial interest in the project or activity (For individuals, give the last name first)	Social Security No. or Employee ID No.	Type of Participation in Project/Activity	Financial Interest in Project/Activity (\$ and %)

(Note: Use Additional pages if necessary.)

Certification

Warning: If you knowingly make a false statement on this form, you may be subject to civil or criminal penalties under Section 1001 of Title 18 of the United States Code. In addition, any person who knowingly and materially violates any required disclosures of information, including intentional non-disclosure, is subject to civil money penalty not to exceed \$10,000 for each violation.

I certify that this information is true and complete.

Signature: X	Date: (mm/dd/yyyy)
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Public reporting burden for this collection of information is estimated to average 2.0 hours per response, including the time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. This agency may not conduct or sponsor, and a person is not required to respond to, a collection information unless that collection displays a valid OMB control number.

Privacy Act Statement. Except for Social Security Numbers (SSNs) and Employer Identification Numbers (EINs), the Department of Housing and Urban Development (HUD) is authorized to collect all the information required by this form under section 102 of the Department of Housing and Urban Development Reform Act of 1989, 42 U.S.C. 3531. Disclosure of SSNs and EINs is optional. The SSN or EIN is used as a unique identifier. The information you provide will enable HUD to carry out its responsibilities under Sections 102(b), (c), and (d) of the Department of Housing and Urban Development Reform Act of 1989, Pub. L. 101-235, approved December 15, 1989. These provisions will help ensure greater accountability and integrity in the provision of certain types of assistance administered by HUD. They will also help ensure that HUD assistance for a specific housing project under Section 102(d) is not more than is necessary to make the project feasible after taking account of other government assistance. HUD will make available to the public all applicant disclosure reports for five years in the case of applications for competitive assistance, and for generally three years in the case of other applications. Update reports will be made available along with the disclosure reports, but in no case for a period generally less than three years. All reports, both initial reports and update reports, will be made available in accordance with the Freedom of Information Act (5 U.S.C. §552) and HUD's implementing regulations at 24 CFR Part 15. HUD will use the information in evaluating individual assistance applications and in performing internal administrative analyses to assist in the management of specific HUD programs. The information will also be used in making the determination under Section 102(d) whether HUD assistance for a specific housing project is more than is necessary to make the project feasible after taking account of other government assistance. You must provide all the required information. Failure to provide any required information may delay the processing of your application, and may result in sanctions and penalties, including imposition of the administrative and civil money penalties specified under 24 CFR §4.38.

Note: This form only covers assistance made available by the Department. States and units of general local government that carry out responsibilities under Sections 102(b) and (c) of the Reform Act must develop their own procedures for complying with the Act.

Instructions

Overview.

A. Coverage. You must complete this report if:

- (1) You are applying for assistance from HUD for a specific project or activity **and** you have received, or expect to receive, assistance from HUD in excess of \$200,000 during the fiscal year;
- (2) You are updating a prior report as discussed below; or
- (3) You are submitting an application for assistance to an entity other than HUD, a State or local government if the application is required by statute or regulation to be submitted to HUD for approval or for any other purpose.

B. Update reports (filed by "Recipients" of HUD Assistance):

General. All recipients of covered assistance must submit update reports to the Department to reflect substantial changes to the initial applicant disclosure reports.

Line-by-Line Instructions.

Applicant/Recipient Information.

All applicants for HUD competitive assistance, must complete the information required in blocks 1-5 of form HUD-2880:

1. Enter the full name, address, city, State, zip code, and telephone number (including area code) of the applicant/recipient. Where the applicant/recipient is an individual, the last name, first name, and middle initial must be entered.
2. Entry of the applicant/recipient's SSN or EIN, as appropriate, is optional.
3. Applicants enter the HUD program name under which the assistance is being requested.
4. Applicants enter the amount of HUD assistance that is being requested. Recipients enter the amount of HUD assistance that has been provided and to which the update report relates. The amounts are those stated in the application or award documentation. **NOTE:** In the case of assistance that is provided pursuant to contract over a period of time (such as project-based assistance under section 8 of the United States Housing Act of 1937), the amount of assistance to be reported includes all amounts that are to be provided over the term of the contract, irrespective of when they are to be received.
5. Applicants enter the name and full address of the project or activity for which the HUD assistance is sought. Recipients enter the name and full address of the HUD-assisted project or activity to which the update report relates. The most appropriate government identifying number must be used (e.g., RFP No.; IFB No.; grant announcement No.; or contract, grant, or loan No.) Include prefixes.

Part I. Threshold Determinations - Applicants Only

Part I contains information to help the applicant determine whether the remainder of the form must be completed. **Recipients filing Update Reports should not complete this Part.**

If the answer to **either** questions 1 or 2 is No, the applicant need not complete Parts II and III of the report, but must sign the certification at the end of the form.

Part II. Other Government Assistance and Expected Sources and Uses of Funds.

A. Other Government Assistance. This Part is to be completed by both applicants and recipients for assistance and recipients filing update reports. Applicants and recipients must report any other government assistance involved in the project or activity for which assistance is sought. Applicants and recipients must report any other government assistance involved in the project or activity. Other government assistance is defined in note 4 on the last page. For purposes of this definition, other government assistance is expected to be made available if, based on an assessment of all the circumstances involved, there are reasonable grounds to anticipate that the assistance will be forthcoming.

Both applicant and recipient disclosures must include all other government assistance involved with the HUD assistance, as well as any other government assistance that was made available before the request, but that has continuing vitality at the time of the request. Examples of this latter category include tax credits that provide for a number of years of tax benefits, and grant assistance that continues to benefit the project at the time of the assistance request.

The following information must be provided:

1. Enter the name and address, city, State, and zip code of the government agency making the assistance available.
2. State the type of other government assistance (e.g., loan, grant, loan insurance).
3. Enter the dollar amount of the other government assistance that is, or is expected to be, made available with respect to the project or activities for which the HUD assistance is sought (applicants) or has been provided (recipients).
4. Uses of funds. Each reportable use of funds must clearly identify the purpose to which they are to be put. Reasonable aggregations may be used, such as "total structure" to include a

number of structural costs, such as roof, elevators, exterior masonry, etc.

- B. Non-Government Assistance. Note that the applicant and recipient disclosure report must specify all expected sources and uses of funds - both from HUD **and any other source** - that have been or are to be, made available for the project or activity. Non-government sources of funds typically include (but are not limited to) foundations and private contributors.

Part III. Interested Parties.

This Part is to be completed by both applicants and recipients filing update reports. Applicants must provide information on:

1. All developers, contractors, or consultants involved in the application for the assistance or in the planning, development, or implementation of the project or activity and
2. any other person who has a financial interest in the project or activity for which the assistance is sought that exceeds \$50,000 or 10 percent of the assistance (whichever is lower).

Note: A financial interest means any financial involvement in the project or activity, including (but not limited to) situations in which an individual or entity has an equity interest in the project or activity, shares in any profit on resale or any distribution of surplus cash or other assets of the project or activity, or receives compensation for any goods or services provided in connection with the project or activity. Residency of an individual in housing for which assistance is being sought is not, by itself, considered a covered financial interest.

The information required below must be provided.

1. Enter the full names and addresses. If the person is an entity, the listing must include the full name and address of the entity as well as the CEO. Please list all names alphabetically.
2. Entry of the Social Security Number (SSN) or Employee Identification Number (EIN), as appropriate, for each person listed is optional.
3. Enter the type of participation in the project or activity for each person listed: i.e., the person's specific role in the project (e.g., contractor, consultant, planner, investor).
4. Enter the financial interest in the project or activity for each person listed. The interest must be expressed both as a dollar amount and as a percentage of the amount of the HUD assistance involved.

Note that if any of the source/use information required by this report has been provided elsewhere in this application package, the applicant need not repeat the information, but need only refer to the form and location to incorporate it into this report. (It is likely that some of the information required by this report has been provided on SF 424A, and on various budget forms accompanying the application.) If this report requires information beyond that provided elsewhere in the application package, the applicant must include in this report all the additional information required.

Recipients must submit an update report for any change in previously disclosed sources and uses of funds as provided in Section I.D.5., above.

Notes:

1. All citations are to 24 CFR Part 4, which was published in the Federal Register. [April 1, 1996, at 63 Fed. Reg. 14448.]
2. Assistance means any contract, grant, loan, cooperative agreement, or other form of assistance, including the insurance or guarantee of a loan or mortgage, that is provided with respect to a specific project or activity under a program administered by the Department. The term does not include contracts, such as procurements contracts, that are subject to the Fed. Acquisition Regulation (FAR) (48 CFR Chapter 1).
3. See 24 CFR §4.9 for detailed guidance on how the threshold is calculated.
4. "Other government assistance" is defined to include any loan, grant, guarantee, insurance, payment, rebate, subsidy, credit, tax benefit, or any other form of direct or indirect assistance from the Federal government (other than that requested from HUD in the application), a State, or a unit of general local government, or any agency or instrumentality thereof, that is, or is expected to be made, available with respect to the project or activities for which the assistance is sought.
5. For the purpose of this form and 24 CFR Part 4, "person" means an individual (including a consultant, lobbyist, or lawyer); corporation; company; association; authority; firm; partnership; society; State, unit of general local government, or other government entity, or agency thereof (including a public housing agency); Indian tribe; and any other organization or group of people.

Acknowledgment of Application Receipt

U.S. Department of Housing
and Urban Development

Type or clearly print the Applicant's name and full address in the space below.

(fold line)

Type or clearly print the following information:

Name of the Federal
Program to which the
applicant is applying: _____

To Be Completed by HUD

☐

HUD received your application by the deadline and will consider it for funding. In accordance with Section 103 of the Department of Housing and Urban Development Reform Act of 1989, no information will be released by HUD regarding the relative standing of any applicant until funding announcements are made. However, you may be contacted by HUD after initial screening to permit you to correct certain application deficiencies.

☐

HUD did not receive your application by the deadline; therefore, your application will not receive further consideration. Your application is:

☐

Enclosed

☐

Being sent under separate cover

Processor's Name _____

Date of Receipt _____

Client Comments and Suggestions

U.S. Department of Housing
and Urban Development

You are our Client! Your comments and suggestions, please!

The Department of Housing and Urban Development in preparing this Notice of Funding Availability and application forms, has tried to produce a more user friendly, customer driven funding process. Please let us have your comments and recommendations for improvements to this document. You may leave this form attached to your application, or feel free to detach the form and return it to:

The Department of Housing and Urban Development
Office of Grants Management and Compliance
Room 2182
451 7th Street, SW
Washington, DC 20410

Please Provide Comments on HUD's Efforts:

The NOFA (insert title) _____

is: (please check one)

- (a) ☐ is clear and easily understandable
(b) ☐ better than before, but still needs improvement (please specify)

(c) other (please specify)

The application form (insert title) _____

is: (please check one)

- (a) ☐ is acceptable given the volume of information required by statute and the volume of information required for accountability in selecting and funding projects.
(b) ☐ is simpler and more user-friendly than before, but still needs work (please specify).

(c) other comments (please specify)

Name & Organization (Optional):

Are additional pages attached? ☐ Yes ☐ No